

01-25-02

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	017078.000003
	First Named Inventor or Application identifier	Gavin Clarkson
ADDRESS TO: Assistant Commissioner of Patents Box Patent Application Washington, DC 20231	Title	Method for Deriving Optimal Income Stream in Intellectual Asset Transactions
	Express Mail No.	EL 901962424 US

 JC978 U.S. PTO  
 10/055289  
 01/23/02

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form PTO/SB/17 (submit in duplicate)
2. ☒ Specification [Total Pages: 19]
3. ☒ Drawing(s) (35 USC 113) [Total Sheets: 0]
4. ☐ Oath or Declaration [Total Pages: 19]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with No. 17 completed)
- [Note No. 5 below]
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application, see  
37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if No. 4b is  
checked)  
The entire disclosure of the prior application, from which a copy of  
the oath or declaration is supplied under No. 4b, is considered as  
being part of the disclosure of the accompanying application and is  
hereby incorporated by reference therein.
6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above  
copies

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement  
(when there is an assignment)  
Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure  
Statement (IDS)/PTO-1449  
Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (Itemized)
14. ☐ Small Entity Statement(s)  
Statement filed in prior application. Status still  
proper and desired
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other: \_\_\_\_\_

## ACCOMPANYING APPLICATION PARTS

17. If a CONTINUING APPLICATION, check appropriate blank and supply the requisite information:

<input type="checkbox"/> Continuation		
<input type="checkbox"/> Divisional		of prior application No.: _____
<input type="checkbox"/> Continuation-in-part (CIP)		

<b>18. Correspondence Address</b>					
<input type="checkbox"/> Customer Number or Bar Code Label <input type="checkbox"/> or <input checked="" type="checkbox"/> Correspondence address below					
(Insert Customer No. or Attach bar code label here)					
Name	Attn: Robert C. Curfiss BRACEWELL & PATTERSON, L.L.P.				
Address	P.O. Box 61389				
City	Houston	State	Texas	Zip Code	77208-1389
Country	U.S.A.	Telephone	(713) 221-1430	Fax	(713) 221-2113

Date: 1/23/02

Robert C. Curfiss, Reg. No. 26,540

**FEE TRANSMITTAL**

Patent fees are subject to annual revision on October 1.  
 These are the fees effective October 1, 1997.  
 Small Entity payments must be supported by a small  
 entity statement, otherwise large entity fees must be  
 paid. See Forms PTO/SB/09-12.  
 37 CFR §§ 1.27 & 1.28

**Complete if Known**

		Application Number	
		Filing Date	
		First Named Inventor	Gavin Clarkson
		Examiner Name	
		Group / Art Unit	
Total Amount of Payment	\$370.00	Attorney Docket No.	017078.000003

**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  
 Deposit Account No.: 50-0259  
 Deposit Account Name:  
Bracewell & Patterson, L.L.P.
- ☒ Charge any additional Fee Required Under 37 CFR §§ 1.16 & 1.17
- ☐ Charge the Issue Fee Set in 37 CFR § 1.18 at the Mailing of the Notice of Allowance
2. ☐ Payment Enclosed: ☐ Check  
☐ Money Order ☐ Other

**FEE CALCULATION****1. Basic Filing Fee**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
\$740	\$370	Utility Filing Fee	\$ 370.00
\$320	\$160	Design Filing Fee	\$
\$490	\$245	Plant Filing Fee	\$
\$710	\$355	Reissue Filing Fee	\$
\$150	\$ 75	Provisional Filing Fee	\$
<b>Subtotal (1)</b>			<b>\$370.00</b>

**2. Extra Claim Fees**

Claims	Extra	Fee (below)	Fee Paid
Total 11-20** =	0	x \$9.00	= \$ 0
Indep. 1- 3** =	0	x \$ 42.00	= \$ 0
Multiple Dependent			\$ 0

\*\*or number previously paid, if greater.  
 For Reissues, see below

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description
\$ 18	\$ 9.00	Claims in excess of 20
\$ 80	\$ 42	Independent claims in excess of 3
\$ 270	\$ 135	Multiple dependent claim, if not paid
\$ 80	\$ 40	**Reissue independent claims over original patent
\$ 18	\$ 9	**Reissue claims in excess of 20 and over original patent
<b>Subtotal (2)</b>		<b>\$</b>

**FEE CALCULATION (continued)****3. Additional Fees**

Large Entity	Small Entity	Fee Description	Fee Paid
\$ 130	\$ 65	Surcharge - late fee or oath	\$
\$ 50	\$ 25	Surcharge - late provisional filing fee or cover sheet	\$
\$2,520	\$2,520	Request for Reexamination	\$
\$ 110	\$ 55	Extension for reply within first month	\$
\$ 380	\$ 190	Extension for reply within second month	\$
\$ 870	\$ 435	Extension for reply within third month	\$
\$1,360	\$ 680	Extension for reply within fourth month	\$
\$1,850	\$ 925	Extension for reply within fifth month	\$
\$ 300	\$ 150	Notice of Appeal	\$
\$ 300	\$ 150	Filing a brief in support of an appeal	\$
\$ 260	\$ 130	Request for oral hearing	\$
\$ 110	\$ 55	Petition to revive - unavoidable	\$
\$1,210	\$ 605	Petition to revive - unintentional	\$
\$1,210	\$ 605	Utility issue fee (or reissue)	\$
\$ 430	\$ 215	Design issue fee	\$
\$ 580	\$ 290	Plant issue fee	\$
\$ 130	\$ 130	Petitions to the Commissioner	\$
\$ 50	\$ 50	Petitions related to provisional applications	\$
\$ 240	\$ 240	Submission of Information Disclosure Statement	\$
\$ 760	\$ 380	Filing a submission after final rejection (37 CFR 1.129(a))	\$
Other fee (specify):			\$
Other fee (specify):			\$
<b>Subtotal (3)</b>			<b>\$ 0</b>

Submitted by

Robert C. Curfiss, Reg. No. 26,540

017078.000003